

#3



DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ISOLATION OF DROSOPHILA AND HUMAN POLYNUCLEOTIDES ENCODING PAR-1 KINASE,
POLYPEPTIDES ENCODED BY THE POLYNUCLEOTIDES
AND METHODS UTILIZING THE POLYNUCLEOTIDES AND POLYPEPTIDES

the specification of which (check one) is attached hereto x was filed on July 30, 2001 as Application Serial No. 09/919,585 and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

| Prior Foreign Application(s) | | Priority Claimed | |
|------------------------------|---------|----------------------|--------|
| Number | Country | Day/Month/Year Filed | Yes No |

I hereby claim the benefit under Title 35, United States Code, §120 and/or 119(e) of any United States application(s) and/or provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| Application Serial No. | Filing Date | Status Patented, Pending, Abandoned |
|---------------------------|-------------|--|
|---------------------------|-------------|--|

| | | |
|------------|---------------|-----------|
| 60/221.860 | July 28, 2000 | Abandoned |
|------------|---------------|-----------|

I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements and the like so made are punishable by fine or imprisonment or both,

under Section 1001 of Title 18 of the United States code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Tian-Qiang Sun

Inventor's signature *Tian-Qiang Sun* Date October 29, 2001

Residence San Francisco, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of second inventor Jia-Jia Feng

Inventor's signature _____ Date _____

Residence San Francisco, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of third inventor Christoph Reinhard

Inventor's signature _____ Date _____

Residence Alameda, California

Citizenship Germany

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

~~Full name of fifth inventor~~ Wendy J. Fantl

Inventor's signature _____ Date _____

Residence San Francisco, California

Citizenship United Kingdom

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of sixth inventor Lewis T. Williams

Inventor's signature _____ Date _____

Residence Mill Valley, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

#3



PATENT
U.S. Patent Application No. 09/919,585
Atty. Docket No. PP-16093.002

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

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POLYPEPTIDES ENCODED BY THE POLYNUCLEOTIDES
AND METHODS UTILIZING THE POLYNUCLEOTIDES AND POLYPEPTIDES

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| Prior Foreign Application(s) | | Priority Claimed | |
|------------------------------|---------|----------------------|--------|
| Number | Country | Day/Month/Year Filed | Yes No |

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Full name of sole or first inventor Tian-Qiang Sun


Inventor's signature _____ Date _____

Residence San Francisco, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of second inventor Jia-Jia Feng

Inventor's signature  Date 10/6/01

Residence San Francisco, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of third inventor Christoph Reinhard

Inventor's signature _____ Date _____

Residence Alameda, California

Citizenship Germany

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

~~Full name of fifth inventor~~ Wendy J. Fantl

Inventor's signature _____ Date _____
Residence San Francisco, California
Citizenship United Kingdom
Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of sixth inventor Lewis T. Williams

Inventor's signature _____ Date _____
Residence Mill Valley, California
Citizenship United States of America
Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

#3



PATENT
U.S. Patent Application No. 09/919,585
Atty. Docket No. PP-16093.002

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| Prior Foreign Application(s) | | | Priority Claimed | |
|------------------------------|----------------|-----------------------------|------------------|-----------|
| <u>Number</u> | <u>Country</u> | <u>Day/Month/Year Filed</u> | <u>Yes</u> | <u>No</u> |

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| Application | | Status |
|-------------------|--------------------|-------------------------------------|
| <u>Serial No.</u> | <u>Filing Date</u> | <u>Patented, Pending, Abandoned</u> |

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Inventor's signature _____ Date _____

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Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of third inventor Christoph Reinhard

Inventor's signature *C. Reinhard* Date 10/04/01

Residence Alameda, California

Citizenship Germany

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

~~Full name of fifth inventor~~ Wendy J. Fantl

Inventor's signature _____ Date _____

Residence San Francisco, California

Citizenship United Kingdom

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of sixth inventor Lewis T. Williams

Inventor's signature _____ Date _____

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under Section 1001 of Title 18 of the United States code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Inventor's signature _____ Date _____

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Citizenship United States of America

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Citizenship United States of America

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Full name of third inventor Christoph Reinhard

Inventor's signature _____ Date _____

Residence Alameda, California

Citizenship Germany

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

~~Full name of fifth inventor~~ Wendy J. Fantl

Inventor's signature Wendy J. Fantl Date Oct 4th 2001

Residence San Francisco, California

Citizenship United Kingdom

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of **sixth** inventor Lewis T. Williams

Inventor's signature _____ Date _____

Residence Mill Valley, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097



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Inventor's signature _____ Date _____

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Citizenship United States of America

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Full name of second inventor Jia-Jia Feng

Inventor's signature _____ Date _____

Residence San Francisco, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of third inventor Christoph Reinhard

Inventor's signature _____ Date _____

Residence Alameda, California

Citizenship Germany

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

Full name of **fifth** inventor Wendy J. Fantl


Inventor's signature _____ Date _____

Residence San Francisco, California

Citizenship United Kingdom

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097

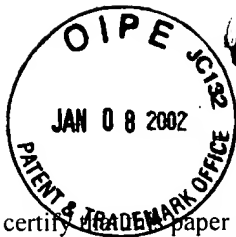
Full name of **sixth** inventor Lewis T. Williams

Inventor's signature  Date 10/16/01

Residence Mill Valley, California

Citizenship United States of America

Post Office Address c/o Chiron Corporation, P.O. Box 8097, Emeryville, CA 94662-8097



#3

PATENT

U.S. Application Serial No. 09/919,585

Attorney Docket No. PP-16093.002

I hereby certify that this paper is being deposited in the United States Postal Service as first class mail in an envelope addressed: Assistant Commissioner of Patents, Washington, D.C. 20231-0001, Attn: Box Missing Parts, on November 2, 2001.

Nancy L. Swanson
Nancy L. Swanson

November 2, 2001
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of TIN-QIANG SUN et al.

Serial No.: 09/919,585

Group: 1643

Filed: July 30, 2001

Examiner: Unassigned

Title: ISOLATION OF DROSOPHILA AND HUMAN POLYNUCLEOTIDES
ENCODING PAR-1 KINASE, POLYPEPTIDES ENCODED BY THE
POLYNUCLEOTIDES AND METHODS UTILIZING THE
POLYNUCLEOTIDES AND POLYPEPTIDES

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

CHIRON CORPORATION

(Name of Assignee)

, a

Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above.
The patent application identified above claims the benefit of Provisional Application No. 60/221,860, filed July 28, 2000, wherein an Assignment was recorded in the Patent and Trademark Office on May 4, 2001 at Reel 011773, Frame 0279, for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

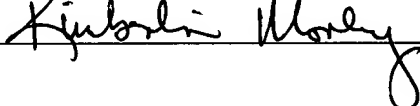
☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (*i.e.*, the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: _____ November 1, 2001

Name: _____ Kimberlin L. Morley

Title: _____ Assistant Secretary, CHIRON CORPORATION

Signature: _____ 



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

COPY

JULY 24, 2001

PTAS



101711548A

CHIRON CORPORATION
LISA E. ALEXANDER
P.O. BOX 8097
INTELLECTUAL PROPERTY DEPARTMENT
EMERYVILLE, CALIFORNIA 94662-8097

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

JUL 2001
Received
Chiron Corporation
Intellectual Property

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/04/2001

REEL/FRAME: 011773/0279
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SUN, TIAN-QIANG

DOC DATE: 03/29/2001

ASSIGNOR:

FENG, JIA-JIA

DOC DATE: 05/01/2001

ASSIGNOR:

RIENHARD, CHRISTOPH

DOC DATE: 04/24/2001

ASSIGNOR:

FANTL, WENDY J.

DOC DATE: 12/06/2000

ASSIGNOR:

WILLIAMS, LEWIS T.

DOC DATE: 04/06/2001

ASSIGNEE:

CHIRON CORPORATION
P.O. BOX 8097
INTELLECTUAL PROPERTY DEPARTMENT
EMERYVILLE, CALIFORNIA 94608-8097

7/24/01
KLM
PR1692, 191
Doc Date
Doc Date

COPY

COPY

011773/0279 PAGE 2

SERIAL NUMBER: 60221860
PATENT NUMBER:

FILING DATE: 07/28/2000
ISSUE DATE:

KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

COPY

05-10-2001



101711548

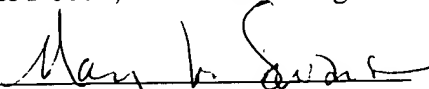
5-4-01

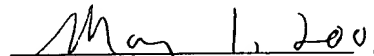
PATENT

U.S. Provisional Application No. 60/221,860

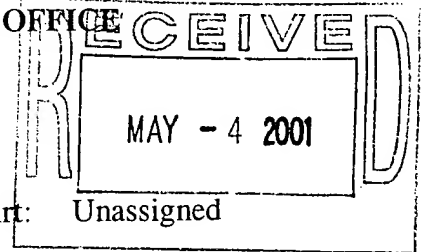
Attorney Docket No. PP-16093.001

I hereby certify that this paper is being deposited in the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231-0001, Attn: Box Assignments, on May 1, 2001.


Nancy L. Swanson


Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of: TIAN-QIANG SUN et al.

Serial No.: 60/221,860

Group Art: Unassigned

Filed : July 28, 2000

Examiner: Unassigned

For : HUMAN DISHEVELLED-ASSOCIATED KINASE PROTEINS

ASSIGNMENT DOCUMENT COVER LETTER

Box Assignment
Assistant Commissioner for Patents
Washington, D.C. 20231

1. The accompanying assignment covers the patent or application identified above.

☒ No other patents or applications are covered by the assignment.

☐ Other patents and/or applications are covered by the assignment as shown on the attached LIST OF PATENTS AND/OR APPLICATIONS COVERED BY ASSIGNMENT.

2001 11121 00000034 60221860

1. 103.

40.00 09

NAMES OF PARTY MAKING TRANSFER

2. Name 1: Tian-Qiang Sun
Name 2: Jia-Jia Feng
Name 3: Christoph Reinhard
Name 4: Wendy J. Fantl
Name 5: Lewis T. Williams

IDENTITY OF PARTY TO WHOM TRANSFER IS MADE

3. Transfer is being made to:

CHIRON CORPORATION
Intellectual Property Department
P.O. Box 8097
Emeryville, California 94608-8097
United States of America

INTENTION OF DOCUMENT

4. The accompanying document is an:

X Assignment License
 Security Interest Other

X Execution Dates: March 26, 2001, May 1, 2001, April 24, 2001,
December 6, 2000 and April 6, 2001

FEE PAYMENT

5. Total fee due \$40.00

6. Charge Deposit Account No. 03-1664 in the sum of \$40.00.

X Enclosed is a check for \$40.00.

- X The Assistant Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to Deposit Account No. 03-1664. THIS IS NOT AN AUTHORIZATION FOR PAYMENT OF ANY ISSUE FEES.

**ADDRESS TO WHICH DOCUMENT SHOULD BE RETURNED AFTER RECORDAL
BY PTO**

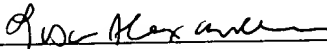
7. Please return the recorded document to:

CHIRON CORPORATION
Intellectual Property Department
P.O. Box 8097
Emeryville, California 94662-8097
United States of America

STATEMENT BY THE PARTY

8. I hereby submit that, to the best of my knowledge and belief, the foregoing information contained herein is true and correct and any copy submitted herewith is a true and correct copy of the original document.

Respectfully submitted,

By: 
Lisa E. Alexander
Attorney for Assignee
Reg. No. 41,576

Dated: May 1, 2001

CHIRON CORPORATION
Intellectual Property - R440
P.O. Box 8097
Emeryville, California 94662-8097

Total number of pages comprising cover sheet: 9 (Assignment Cover Letter plus Original Assignment)

ASSIGNMENT

~~WHEREAS, We, TIAN-QIANG SUN, JIA-JIA FENG, CHRISTOPH REINHARD,~~
WENDY J. FANTL and LEWIS T. WILLIAMS, hereinafter referred to as **ASSIGNORS**,
have co-invented certain improvements as described and set forth in the below-identified
application for United States Letters Patent:

Title of Invention: HUMAN DISHEVELLED-ASSOCIATED KINASE PROTEINS

Date of Execution: March 29, 2001, May 1, 2001, April 24, 2001,
December 6, 2000 and April 6, 2001

Filing Date: July 28, 2000

Serial No: 60/221,860

WHEREAS, **CHIRON CORPORATION**, located at 4560 Horton Street, Emeryville,
California 94608-2916, hereinafter referred to as **ASSIGNEE**, is desirous of acquiring the
entire right, title and interest in the said invention and application and in any Letters Patent
which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for and
in consideration of the sum of One Dollar (\$1.00) lawful money paid to **ASSIGNORS** by
ASSIGNEE, receipt of which is hereby acknowledged, **ASSIGNORS** have sold, assigned
and transferred, and by these presents do sell, assign and transfer unto said **ASSIGNEE**,
and **ASSIGNEE'S** successors and assigns, all right, title and interest in and to the said
invention, said application for United States Letters Patent, and any Letters Patent which
may hereafter be granted on the same in the United States and all countries throughout the
world including any divisions, renewals, continuations in whole or in part, substitutions,
conversions (including conversions claiming priority under 35 U.S.C. § 119(e)), reissues,
prolongations or extensions thereof, the said interest to be held and enjoyed by said
ASSIGNEE as fully and exclusively as it would have been held and enjoyed by said
ASSIGNORS had this assignment and transfer not been made, to the full end and term of
any Letters Patent.

ASSIGNORS also agree that the U.S. serial number and the filing date may be
entered above by **ASSIGNEE** or its agents upon designation of the serial number and the
filing date by the U.S. Patent and Trademark Office.

ASSIGNORS further agree that they will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

IN TESTIMONY WHEREOF, ASSIGNORS have hereunto signed their names to this assignment on the dates indicated below.

INVENTOR: TIAN-QIANG SUN

DATE March 29, 2001

Tian-Qiang Sun
Signature

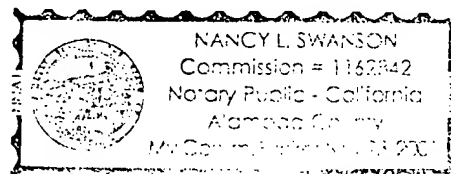
State of California

County of Alameda

On 3/29/01 before me, Nancy L. Swanson, Notary Public, personally appeared Tian-Qiang Sun, personally known to me OR proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

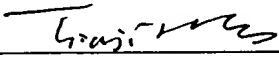
Nancy L. Swanson
Signature of Notary Public



Notary Seal

INVENTOR: JIA-JIA FENG

DATE 5/1/01

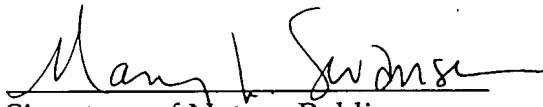

Signature

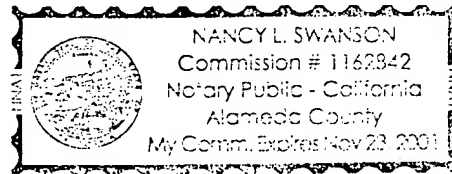
State of California

County of Alameda

On 5/1/01 before me, Nancy L Swanson, Notary Public,
personally appeared Jia-Jia Feng, personally known to me OR proved
to me on the basis of satisfactory evidence to be the person whose name is subscribed to the
within instrument and acknowledged to me that he/she/they executed the same in
his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the
instrument the person(s), or the entity upon behalf of which the person(s) acted, executed
the instrument.

WITNESS my hand and official seal.


Signature of Notary Public



Notary Seal

INVENTOR: CHRISTOPH REINHARD

DATE

04/24/01

C. Reinhard

Signature

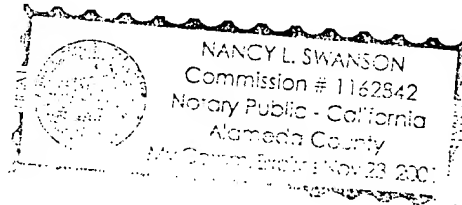
State of California

County of Alameda

On 4/24/01 before me, Mary L. Swanson, Notary Public,
personally appeared Christoph Reinhard, personally known to me OR proved
to me on the basis of satisfactory evidence to be the person whose name is subscribed to the
within instrument and acknowledged to me that he/she/they executed the same in
his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the
instrument the person(s), or the entity upon behalf of which the person(s) acted, executed
the instrument.

WITNESS my hand and official seal.

Mary L. Swanson
Signature of Notary Public



Notary Seal

INVENTOR: WENDY J. FANTL

DATE ^{WF 12/6/2000} Dec 6th 2000

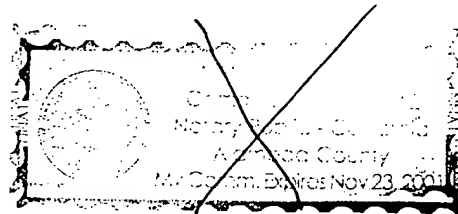
Wendy J. Fantl
Signature

State of California
County of Alameda

On 12/6/2000 before me, Nancy L. Swanson, Notary Public,
personally appeared Wendy J. Fantl, personally known to me OR proved
to me on the basis of satisfactory evidence to be the person whose name is subscribed to the
within instrument and acknowledged to me that he/she/they executed the same in
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instrument the person(s), or the entity upon behalf of which the person(s) acted, executed
the instrument.

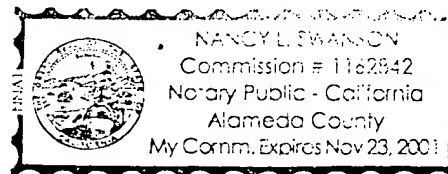
WITNESS my hand and official seal.

Nancy L. Swanson
Signature of Notary Public



nd 12/6/00

Notary Seal



INVENTOR: LEWIS T. WILLIAMS

DATE 4/06/01

[Signature]
Signature

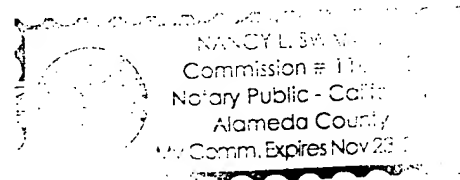
State of California

County of Alameda

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instrument the person(s), or the entity upon behalf of which the person(s) acted, executed
the instrument.

WITNESS my hand and official seal.

[Signature]
Signature of Notary Public



Notary Seal